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June 11, 1993
NUMBER 8910.1

ASD(C31)

SUBJECT: Management and Control of Information Requirements

- References:
- (a) DoD Directive 7750.5, subject as above, August 7, 1986 (hereby canceled)
 - (b) DoD Directive 8000.1, "Defense Information Management (IM) Program," October 27, 1992
 - (c) Public Law 96-511, "The Paperwork Reduction Act of 1980," December 11, 1980, as amended (44 U.S.C. 350 et seq.)
 - (d) DoD 8910.1-M, "DoD Procedures for Management of Information Requirements," November 1986, authorized by this Directive
 - (e) through (q), see enclosure 1

A. REISSUANCE AND PURPOSE

This Directive:

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1. Administratively renumbers and reissues reference (a).

2. Establishes policy and assigns responsibilities for the management and control of information requirements and implements those policies in references (b) and (c) on the licensing of reporting requirements internal and external to the Department of Defense and the development of an information collection budget.

3. Continues to authorize publication of DoD 7750.5-M, hereby changed to DoD 8910.1-M (reference (d)), and DoD 7750.5-L, hereby changed to DoD 8910.1-L (reference (e)), in accordance with DoD 5025.1-M (reference (f)).

B. APPLICABILITY AND SCOPE

This Directive:

1. Applies to the Office of the Secretary of Defense (OSD), the Military Departments (including the National Guard and Reserve components), the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as "the DoD Components").

2. Applies to existing, revised, and new information requirements (internal DoD, inter-Agency, and public reporting requirements) and the systems and processes necessary to support them. All information and reporting systems and all techniques (electronic and manual) for collecting, recording, maintaining, and disseminating information for all functional areas are included under its provisions unless specifically exempted by reference (c).

3. Encompasses the information requirements developed in support of all management functions, unless excluded in reference (d), and includes information

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collected to satisfy statutory, congressional, and other inter-Agency imposed information requirements; the collection of information from sources external to the Federal Government; and information collected internally within the Department of Defense.

C. DEFINITIONS

Terms used in this Directive are defined in enclosure 2.

D. POLICY

1. Ensuring that sufficient information is available to achieve military effectiveness and management efficiency is a basic command and management responsibility. As a fundamental policy, however, the burden associated with the collection and reporting of this information must be controlled and minimized. The management of reports internally prescribed by the DoD Component must include provision for setting annual goals, consistent with critical mission needs, to reduce the number or frequency of reports.

2. The central ingredient in information management is the user's responsibility and accountability for ensuring that information requirements are valid, accurate, and essential to the mission of the user's organization.

a. Information requirements should be examined to avoid both duplication and unnecessary generation of data. Because the creation or collection of information requires the allocation of scarce resources, the user must first ascertain that the required data are not already available from other sources.

b. Statistical sampling techniques and information technology should be emphasized as approaches for minimizing reporting workloads.

c. In the development and operational life cycle of an automated information system, care shall be taken to ensure that information needs are clearly identified and that reports to be generated by the automated system represent cost-effective use of resources, as required by DoD Directive 8120.1 (reference (g)).

3. Information collected from the public (individuals, businesses, and other private institutions) and State and local governments shall also be minimized, accounted for, and controlled. Section 1320 of 5 CFR (reference (h)) directs that public information collections be submitted to the Office of Management and Budget (OMB) for approval, and that an annual information collection budget of burden hours be developed and submitted to the OMB.

4. To ensure optimum effectiveness and economy in the development of information requirements, the following guidance shall be applied:

a. Each new or revised information requirement shall be subjected to a cost analysis. An estimate or actual cost of obtaining the information shall be developed by the requester in accordance with DoD 8910.1-M (reference (d)). A full cost-benefit analysis shall be required for all information collections and systems that are considered to be major by a senior information resources management (IRM) official or representative.

b. Each item of data in the information requirement shall be evaluated and screened against data in existing information collections to determine whether such information can satisfy the requirement. Information requirements shall be

designed to meet only essential needs and be in the minimal frequency feasible, with reasonable due dates. The number of copies to be prepared shall be held to a minimum. Repetitive one-time information requirements may not be imposed when the need for a recurring information requirement is indicated.

c. Information requirements shall comply with existing standard data elements and codes published in DoD 5000.12-M (reference (i)). If required data elements and codes do not exist, they shall be standardized, when appropriate, consistent with DoD Directive 8320.1 (reference (j)).

d. Internal DoD information requirements shall be approved and symbolized; i.e., assigned an information requirement control symbol at the organizational Component level generating the requirement.

e. Information requirements that have not been properly approved and symbolized shall not be honored. The office requesting the data shall be notified that an information requirement control symbol must be obtained before the data can be collected.

f. Information requirements that involve the collection of personal information on individuals require special handling under DoD Directive 5400.11 (reference (k)). Information or data included in the proposed information requirement shall be accessible to the public, only as prescribed by DoD Directive 5400.7 (reference (l)).

g. On an individual case-by-case basis, special one-time, high priority, or time-urgent requirements may be approved and symbolized without being subjected to in-depth review and analysis, provided a statement of urgency is included with the request for approval document. It will be the responsibility of the requester to complete the request for approval document retroactively, including the appropriate justification and cost estimates.

5. To ensure that ongoing information requirements are still valid and adequate, users shall perform assessments of their ongoing information requirements no less frequently than every 3 years. Actions shall be taken to accomplish modifications, cancellations, or new initiatives identified during the review. The DoD Components should consider the assignment of expiration dates to reports as a means of distributing the workload of relicensing reports.

E. RESPONSIBILITIES

1. The Assistant Secretary of Defense for Command, Control, Communications, and Intelligence, as the DoD senior official responsible for implementing Pub.L. No. 96-511 (1980) (reference (c)), shall, consistent with the guidance prescribed by the OMB:

a. Develop and issue DoD-wide policies for the management, control, and registration of internal DoD, inter-Agency, and public reporting requirements.

b. Establish goals, as appropriate, consistent with critical mission needs, for reduction in the number and frequency of OSD-prescribed internal reports.

c. Oversee accomplishment of all DoD report reduction goals.

d. Provide policy oversight and monitor the information collection budget.

e. Approve and publish DoD 8910.1-M (reference (d)), in accordance with DoD 5025.1-M (reference (f)).

2. The Assistant Secretary of Defense (Production and Logistics) shall review and administer data requirements acquired by solicitation or contract, and publish and maintain DoD 5010.12-L (reference (m)), in accordance with DoD Instruction 5000.2 (reference (n)).

3. The Assistant Secretary of Defense (Force Management and Personnel) shall, before submission to the Director, Washington Headquarters Services (WHS), approve surveys requiring participation of personnel in any DoD Component, other than the sponsoring Component, as prescribed by DoD Instruction 1100.13 (reference (o)).

4. The Director, Washington Headquarters Services, shall:

a. Develop and coordinate DoD 8910.1-M (reference (d)) to provide procedures governing the processing, review, and approval of information requirements (DoD internal, interagency, and public reports).

b. Establish an OSD information requirements control activity to:

(1) Maintain and distribute an index of approved information requirements (DoD 8910.1-L (reference (e))).

(2) Maintain the data profiles of all DoD public, inter-Agency, and OSD-prescribed internal reports on an automated locator system. This system should be compatible with the Federal Information Locator System established by Pub. L. No. 96-511 (1980) (reference (c)).

(3) Serve as the DoD reviewing office and the office of record for interagency information requirements imposed by the Department of Defense or by external agencies, in accordance with the Federal Information Resources Management Regulation (FIRMR) (reference (p)).

(4) Serve as the DoD clearance office and the office of record for DoD public reporting, in accordance with Pub. L. No. 96-511 (1980) (reference (c)) and 5 CFR 1320 (reference (h)).

(5) Serve as the office of record and approval authority for OSD-prescribed internal information requirements, in accordance with the FIRMR (reference (p)).

c. Take appropriate action on the results of OSD staff assessments of their ongoing information requirements.

5. The Secretaries of the Military Departments, the Chairman of the Joint Chiefs of Staff, and the Directors of the Defense Agencies shall:

a. Ensure that users justify new information requirements before submission for approval to ensure that the data are not already available from other sources.

b. Establish an information requirements control activity under their senior IRM official or representative to:

(1) Serve as the principal point of contact on the various information requirements programs.

(2) Provide for the efficient and effective management and control of information requirements.

(3) Process, assign, and cancel internal information requirement control symbols where applicable. Information requirement control symbols assigned by a higher level shall not be assigned a different information requirement control symbol by a lower level organization.

(4) Submit their respective information collection budgets to the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I)).

(5) Submit their requests for public and interagency information requirements to the Director, WHS.

(6) Maintain an up-to-date index of their approved information requirements.

c. Respond only to those information requirements that have been symbolized; that is, assigned an information requirement control symbol, an inter-Agency report control number, or an OMB approval number, or exempted, consistent with DoD 8910.1-M (reference (d)).

d. Maintain cost information consistent with paragraph D.4.a., above. When appropriate, cost information shall also be maintained at other levels of command.

e. Establish goals, as appropriate, consistent with critical mission needs, for reduction in the number or frequency of their internally prescribed reports.

f. Ensure that users assess their ongoing information requirements no less frequently than every 3 years, take appropriate action, and communicate the results of their actions to the information requirements control activity.

6. The OSD Principal Staff Assistants shall:

a. Designate an information management control officer for their respective functional areas.

b. Submit their information requirement requests to the Director, WHS.

c. Respond only to those public and inter-Agency information requirements that have valid control numbers.

d. Submit their respective information collection budgets to the ASD(C3I).

e. Assess their ongoing information requirements no less frequently than every 3 years and communicate the results of the assessment to the Director, WHS.

F. INFORMATION REQUIREMENTS

The Secretaries of the Military Departments, the Chairman of the joint Chiefs of Staff, and the Directors of the Defense Agencies are hereby delegated authority to

approve, symbolize, or exempt their own prescribed internal information requirements.

G. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. The Heads of the DoD Components shall keep implementing documents to the absolute minimum. Forward one copy of implementing documents to the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence within 120 days.

William J. Perry
William J. Perry
Deputy Secretary of Defense

Enclosures - 2

1. References
2. Definitions

REFERENCES, continued

- (e) DoD 8910.1-L, "Listing of Approved Recurring Information Requirements," January 1993, authorized by this Directive
- (f) DoD 5025.1-M, "DoD Directives System Procedures," December 1990, authorized by DoD Directive 5025.1, December 23, 1988
- (g) DoD Directive 8120.1, "Life Cycle Management (LCM) of Automated Information Systems (AISs)," January 14, 1993
- (h) Title 5, Code of Federal Regulations, Section 1320
- (i) DoD 5000.12-M, "DoD Manual for Standard Data Elements," July 1989, authorized by DoD Instruction 5000.12, April 27, 1965
- (j) DoD Directive 8320.1, "DoD Data Administration," September 26, 1991
- (k) DoD Directive 5400.11, "Department of Defense Privacy Program," June 9, 1982
- (l) DoD Directive 5400.7, "DoD Freedom of Information Act Program," May 13, 1988
- (m) DoD 5010.12-L, "Acquisition Management Systems and Data Requirements Control List," October 1992, authorized by DoD Instruction 5000.2, February 23, 1991
- (n) DoD Instruction 5000.2, "Defense Acquisition Management Policies and Procedures," February 23, 1991
- (o) DoD Instruction 1100.13, "Surveys of Department of Defense Personnel," November 9, 1978
- (p) Federal Information Resources Management Regulation(FIRMR), Part 201-9, April 29, 1991 (Title 41, Code of Federal Regulations, Chapter 201)
- (q) Office of Management and Budget (OMB) Circular A-130, "Management of Information Resources," December 12, 1985

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DEFINITIONS

1. Information. Any communication or reception of knowledge such as facts, data, or opinions, including numerical, graphic, or narrative forms, whether oral or maintained in any medium, including computerized data bases, paper, microform, or magnetic tape. (See OMB Circular A-130, reference (q).)
2. Information Collection Budget. An annual comprehensive budget of burden hours for all collections of information from the public to be conducted or sponsored by a Federal Agency in the succeeding 12 months.
3. Information Collection Request. A written report form, application form, survey, schedule, questionnaire, reporting or recordkeeping requirement, or other similar method calling for the collection of information.
4. Information Requirement. The functional area expression of need for data or information to carry out specified and authorized functions or management purposes that require the establishment or maintenance of forms or formats, or reporting or recordkeeping systems, whether manual or automated.
5. Information Requirements Assessment. The analysis of ongoing information requirements to ascertain the need for the information, the cycle of reporting, the timeliness of the requirement, the accuracy of the information, and the cost-effectiveness of the requirement.
6. Information Resources Management (IRM). The planning, budgeting, organizing, directing, training, controlling, and management activities associated with the burden, collection, creation, use, and dissemination of information by Agencies. The term includes the management of information and related resources, such as Federal information processing resources. (See Pub. L. No. 96-511 (1980), reference (c).)
7. OSD Principal Staff Assistants. The Under Secretaries of Defense; the Assistant Secretaries of Defense; the General Counsel of the Department of Defense; the Inspector General of the Department of Defense; the Comptroller of the Department of Defense; the Assistants to the Secretary of Defense; and the OSD Directors, or equivalents, who report directly to the Secretary or the Deputy Secretary of Defense (DoD 5025.1-M, reference (f)).
8. Senior IRM Official or Representative. The term is defined to include the single official for IRM designated under reference (c) and those representatives in the Defense Agencies, designated by their Heads, as responsible for oversight of Agency information matters.
9. Surveys of Persons. Systematic data collections, using personal or telephonic interviews, or self-administered questionnaires, from a sample of 10 or more persons as individuals or representatives of Agencies that elicit attitudes, opinions, behavior, and related demographic, social, and economic data to identical questions that are to be used for statistical compilations for research and/or policy assessment purposes.